

United States District Court  
for the  
Southern District of New York  
Related Case Statement

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Full Caption of Later Filed Case:

UNITED STATES SECURITIES AND  
EXCHANGE COMMISSION,

Plaintiff

Case Number

vs.

1:18-CV-6718

JOHN A. PAULSEN,

Defendant

Full Caption of Earlier Filed Case:

(including in bankruptcy appeals the relevant adversary proceeding)

UNITED STATES SECURITIES AND  
EXCHANGE COMMISSION,

Plaintiff

Case Number

vs.

16-CV-9829

NAVNOOR S. KANG, GREGG Z.  
SCHONHORN, and DEBORAH D.  
KELLEY,

Defendant

## Status of Earlier Filed Case:

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Closed

(If so, set forth the procedure which resulted in closure, e.g., voluntary dismissal, settlement, court decision. Also, state whether there is an appeal pending.)

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Open

(If so, set forth procedural status and summarize any court rulings.)

The earlier-filed case has been stayed pending resolution of a criminal case (16-cr-837) covering the same conduct. The criminal defendants have all pleaded guilty. Two of the three criminal defendants have been sentenced; the third will likely not be sentenced for several months, after which the stay will be lifted.

Explain in detail the reasons for your position that the newly filed case is related to the earlier filed case.

The newly-filed case is against a different defendant but concerns many of the same facts as the earlier-filed case.

Signature: /s/ Alyssa A. Qualls Date: 07/26/2018

U.S. Securities and Exchange Commission

Firm: \_\_\_\_\_